

 <b>KENTUCKY CORRECTIONS</b> Policies and Procedures	Policy Number	Total Pages
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Authority/References KRS 196.030, 196.035, 439.310, 439.600, 439.630 P & P ACA Standards 3-3003, 3-3005, 3-3008, 3-3016, 3-3023, 3-3043, 3-3077, 3-3104, 3- 3105, 3-3106, 3-3112	Subject  <b>DUTIES AND CHAIN OF COMMAND</b>	

## I. DEFINITIONS

As used in this document, the following definitions apply:

“Administrator of Field Services” means the Director, Assistant Director, or other person charged with the administration and oversight of the Division of Probation and Parole.

“Auxiliary personnel” means a person used in any role not outlined by subsections A through E of this policy and assigned to work in a particular district.

“Workload formula” means an objective system for quantifying the amount of work done by Probation and Parole officers

## II. POLICY AND PROCEDURE

A. The Administrator of Field Services shall be charged with the administration and oversight of the Division of Probation and Parole as outlined in KRS 439.310.

1. In order to become Administrator of Field Services a person must possess at a minimum:

- a. A Bachelor’s Degree
- b. At least five years of administrative experience

2. The Administrator of Field Services shall:

- a. Develop an annual strategic plan for the Division of Probation and Parole in accordance with the Department of Corrections’ biennial strategic plan. This annual strategic plan shall include at a minimum:

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- i. A philosophy statement for the Division of Probation and Parole. (3-3008)
  - ii. Long range goals for the Division of Probation and Parole. (3-3008)
  - iii. Measurable objectives that can be accomplished by field staff in pursuit of long range goals. (3-3005)
  - iv. Priorities related to goals, objectives and policies of the Division of Probation and Parole. (3-3005)
3. Establish a workload formula for the allocation of work and resources according to need, which shall consider legal requirements, needs of offenders to be supervised, geographic areas and administrative tasks required of the officers. (3-3126) The workload formula shall be reviewed annually by the Administrator of Field Services or designated staff.
4. Establish or direct the establishment of policies and procedures needed to maintain operational standards and achieve long range goals. (3-3005)
5. Direct the collection, safeguarding, and disbursement of all funds for drug testing. (3-3043)
6. Assess annually personnel needs and plan for recruitment, training, and staff development, in conjunction with the Department of Corrections Division of Training and Personnel Branch. (3-3077)
7. Oversee research and collection of data as a part of an overall management, planning, and research capacity by: (3-3104)
  - a. Designating specific personnel to routinely collect data and conduct research on that data.
  - b. Receiving quarterly reports from the individuals in charge of the information systems and research programs. (3-3106)
  - c. Approving research projects prior to implementation. (3-3112)
8. Review annually the performance of the Division of Probation and Parole by evaluating the performance of various programs and operational units of the division. (3-3023)
9. Submit a report to the parent agency, at least biennially that includes objectives, programs, budget, major developments, problems, and plans,

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as well as services furnished to the courts, parole authority, and offender.  
(3-3024)

10. Perform other duties at the direction of the Commissioner or Deputy Commissioner of the Department of Corrections.

B. A Branch Manager shall be charged with the administration and oversight of a group of programs or operational units. The Branch Manager shall report directly to the Administrator of Field Services and shall assume specific tasks as assigned by the Administrator of Field Services that are relevant to the manager's area of oversight.

C. A District Supervisor shall be charged with the administration and oversight of a Probation and Parole district. The District Supervisor shall report to a Branch Manager or to the Administrator of Field Services if a Branch Manager is not assigned. The District Supervisor shall assume tasks as assigned by a Branch Manager or the Administrator of Field Services that are relevant to the overall operations of the Probation and Parole district.

1. Each District Supervisor and Assistant Supervisor shall meet the qualifications established by the Department of Personnel and shall be trained in the supervisory function. (3-3128) The District Supervisor or designee shall assign and supervise the work of officers and support staff in his assigned area.

2. Each officer shall submit a monthly report to the District Supervisor or designee. The District Supervisor or designee shall compile one report for the district that reflects the workload of each officer and it shall be submitted to Central Office by the fourth working day of the month. The District Supervisor or designee shall review the monthly report submitted by each officer for compliance with Corrections Policy and Procedure and conduct an audit on the list of absconders named to ensure that a warrant has been requested or issued.

3. The District Supervisor or designee shall at least annually review each officer's compliance with agency regulations, for example, contact requirements, report writing and deadlines. This shall be accomplished by review of the narratives notes in the case management system, by continuous review of Presentence Investigations and other documents, and a field audit. Compliance with Corrections Policy and Procedure 27-17-01 shall also be considered. (3-3023, 3-3129). A minimum of ten cases shall be reviewed annually.

4. The District Supervisor or designee shall conduct district meetings monthly. The meetings shall include a meeting agenda and minutes.

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Copies of each shall be retained by the Assistant Supervisor or designee and a second copy shall be forwarded to the Assistant Director or designee. This meeting shall encourage two-way communication between all levels of staff, the Assistant Supervisor, and the District Supervisor. (3-3021, 3-3022)

5. The District Supervisor shall allocate work to the clerical staff . The clerical workload shall be reviewed annually by the District Supervisor or designee and a report submitted to the Director or designee.

D. An Assistant District Supervisor shall assist the District Supervisor in the administration and oversight of a Probation and Parole district. The Assistant Supervisor shall report directly to the District Supervisor and shall assume tasks as assigned by the District Supervisor. These tasks shall include:

- 1 Training and staff development
- 2 Assists supervisors with case audits

E. A probation and parole officer shall report to the District Supervisor or Assistant District Supervisor assigned to his district. The duties of the Probation and Parole officer have been developed with the goal of protecting the community while providing necessary services to the offender and reducing the probability of continued criminal behavior on the part of the offender 3-3125). Duties of the officer shall include:

1. Investigating cases referred by the Commissioner of Corrections, or his designee, the Parole Board, or any court in which the officer is authorized to serve.
2. Furnishing a written statement of the conditions of supervision to each offender and instructing the offender regarding those conditions.
3. Keeping informed concerning the conduct of each person under his supervision and using all available resources such as social services agencies, treatment providers, community agencies and volunteer groups to encourage improvement of the offender's conduct.
4. Keeping accurate and detailed records of case plan decisions and events regarding offenders (3-3102).
5. Monitoring payments in accordance with the order of the Commissioner of Corrections or the releasing authority.

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6. Supplying written reports to the releasing authority or Corrections, as required.
  7. Referring offenders to, and coordinating services with, other social agencies.
  8. Enforcing the conditions of supervision as related to probation and parole.
  9. Providing testimony and evidence in a hearing or trial.
  10. Transporting offenders when applicable.
  11. Investigating and supervising out-of-state probationers and parolees as agreed upon in the Interstate Compact.
  12. Keeping informed of and adhering to current policies and procedures.
  13. Participating in training programs designated by Corrections.
  14. Ensuring that offenders have access to supervision services twenty-four (24) hours a day, seven (7) days a week. Providing an emergency telephone number, cellular telephone number, or pager number to offenders under his supervision so they may contact him as needed during off duty hours. (3-3135)
  15. Processing sexual offender registrations and modifications.
  16. Advising the offender of constructive and acceptable leisure time activities that contribute to a satisfactory community adjustment. (3-3155)
  17. Assisting former offenders with the Restoration of Civil Rights application.
- F. Auxiliary personnel shall report to the District Supervisor assigned to the district where the auxiliary personnel are located.
- G. If an employee's immediate supervisor is not available due to a position vacancy, temporary absence, or other emergency circumstances, the employee shall report to the next level of supervisory or administrative staff.